

**FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) AND  
COMMON REPORTING STANDARD (CRS) SELF CERTIFICATION FORM**

Tax authorities require Primary Securities Ltd to collect and report certain information about an investor's tax residency status.

If you are unable to complete this form please seek appropriate advice relating to the tax information required (as set out in the Automatic Exchange of Information Guidance published by the Australian Taxation office [www.ato.gov.au](http://www.ato.gov.au))

**1. INDIVIDUALS/JOINT APPLICANTS**

Are any of the applicants a tax resident of any other country outside of Australia?

Yes  No

**If No go to section 5**

**1a Personal Details**

If you are a joint account holder please attach a statement to this form containing the information required relating to the remaining applicants. All applicants must sign this form.

<b>Name</b>	
<b>Date, town and country of birth</b>	
<b>Residential Address</b> (Not PO Box or C/-)	

**1b Jurisdiction of Tax Residency**

Is the individual a US citizen or resident of the US for tax purposes?

Yes  No

If yes please provide the individual's US taxpayer identification number (TIN)

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Please indicate the individual's jurisdiction of tax residence (other than the US identified above). If a tax resident in more than one jurisdiction please include details for all jurisdictions.

<b>Jurisdiction of Tax Residence (country)</b>	<b>Tax Identification Number (TIN) or Equivalent</b>	<b>Reason code if no TIN provided</b>

Reason A – the jurisdiction of the individual's tax residence does not issue TINs to its residents.

Reason B – the individual is otherwise unable to obtain a TIN or equivalent number. Please explain why the individual is unable to obtain a TIN in the below table.

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Reason C – NO TIN is required (only select this reason if the domestic law of the relevant jurisdiction does not require the TIN to be disclosed)

**Now go to section 5**

## 2. ENTITIES

Is the applicant an Australian Retirement Fund (including an Australian Self Managed Superannuation) where the registered security holder is NOT a Financial Institution?

Yes  No

**If yes go to section 5**

### 2a Jurisdiction of Tax Residency

US applicants only – is the entity a Specified US Person for US tax purposes?

Yes  No

**If Yes please provide the applicant's US taxpayer identification number (TIN)**

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Please indicate the applicant's jurisdiction of tax residence (other than the US identified above). If a tax resident in more than one jurisdiction please include details for all jurisdictions. If the applicant is a tax resident in Australia write Australia in the table below but do not provide the Australian Tax File number.

Jurisdiction of Tax Residence (country)	Tax Identification Number (TIN) or Equivalent	Reason code if no TIN provided

Reason A – the jurisdiction of the applicant's tax residence does not issue TINs to its residents.

Reason B – the individual is otherwise unable to obtain a TIN or equivalent number. Please explain why the applicant is unable to obtain a TIN in the below table.

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Reason C – NO TIN is required (only select this reason if the domestic law of the relevant jurisdiction does not require the TIN to be disclosed)

**Go to section 3 if the applicant is a Financial Institution or Section 4 if the applicant is not a Financial Institution**

## 3. FINANCIAL INSTITUTIONS

### 3a. FATCA STATUS

Is the applicant a Financial Institution for the purposes of FATCA?

Yes  No

**If Yes please provide the information below and go to section 3b**

**If No go to section 3b**

Please provide the Financial Institution's Global Intermediary Identification Number, or otherwise provide its FATCA status (exempt beneficial owner, deemed Compliant FFI, non participating FFI, excepted financial institution)

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If a Sponsored Financial Institution please provide the Sponsoring Entity's name and Global Intermediary Identification Number

Sponsoring Entity's name	Global Intermediary Identification Number (GIIN)

If a Trustee Documented Trust please provide the Trustee's name and Global Intermediary Identification Number

<b>Trustee's name</b>	<b>Global Intermediary Identification Number (GIIN)</b>

**3b CRS STATUS**

Specify the type of Financial Institution below (reporting financial institution/non reporting financial institution).

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**3c CRS STATUS**

Are you an investment entity resident in a non participating jurisdiction for CRS purposes and managed by another Financial Institution

Yes  No

**If Yes go to section 4**

**If No go to section 5**

**4. CONTROLLING PERSONS**

If the applicant is:

- a. for FATCA purposes a Passive NFFE; or
- b. for CRS purposes a Passive NFE or an investment entity managed by a financial institution with a tax residence in a non CRS jurisdiction.

please provide the information requested below for any of the applicant's controlling persons if the controlling person is a tax resident of any country outside of Australia.

A controlling person is:

- any natural person that exercises control over a corporation, including directors or beneficial owners who ultimately own 25% or more of the share capital.
- In respect of a trust, any natural person including the trustee, protector, beneficiary settlor or any other natural person exercising ultimate effective control over the trust.

<b>Name</b>			
<b>Date, town and country of birth</b>			
<b>Residential Address</b>			
<b>Jurisdiction of tax residence (country)</b>			
<b>Tax Identification number or Equivalent</b>			
<b>Reason code if no TIN provided</b>			

If there are more than 3 controlling persons please list them on a separate piece of paper

\*Reason A – the jurisdiction of the applicant's tax residence does not issue TINs to its residents.

Reason B – the applicant is otherwise unable to obtain a TIN or equivalent number. Please explain why the applicant is unable to obtain a TIN in the below table.

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Reason C – NO TIN is required (only select this reason if the domestic law of the relevant jurisdiction does not require the TIN to be disclosed)

## 5. DECLARATION AND SIGNATURE

By signing this self certification form you declare and agree:

1. that the information provided is true and correct.
2. that the information provided may be disclosed to the Australian Tax Office or any other government bodies, including bodies located overseas, to enable it to be reported and used in compliance with any FATCA or CRS regulations.
3. I/we will notify Primary Securities with any changes to the information provided by me/us and provide any further information reasonably required by Primary to comply with any obligation under the FATCA or CRS regulations within 30 days of such change in circumstances.

Signature 1:

Tick capacity

Director  Secretary  Sole Director

Date

Signature 2:

Tick capacity

Director  Secretary  Sole Director

Date